OIPE
SEP 0 8 2000
PATENT & TRADEMARK OFFICE
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RESPONSE TRANSMITTAL LETTER		ATTORNEY DOCKET	10392/46001
SERIAL NUMBER 09/038,158	FILING DATE March 11, 1998	EXAMINER C. Chung	ART UNIT 2764
INVENTION TITLE **METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO**		APPLICANT **WALLMAN, Steven M. H.**	

Commissioner of Patents and Trademarks
Washington, DC 20231

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TC 2700 MAIL ROOM

Transmitted herewith in the above-identified application is:

1. Response to Office Action.

The filing fee has been calculated as shown below:

	CLAIMS AFTER AMENDMENT		MOST CLAIMS PAID FOR	NUMBER EXTRA	RATE ($)	FEE ($)
TOTAL CLAIMS	49	-	49	0	18.00	0.00
INDEPENDENT CLAIMS	5	-	5	0	78.00	0.00
MULTIPLE DEPENDENT CLAIM ADDED						
					TOTAL	
If applicant is a small entity under 37 C.F.R. §1.9 and §1.27, then divide total fee by 2, and enter amount here.					SMALL ENTITY TOTAL	

The Commissioner is hereby authorized to charge for underpayment, or credit for overpayment, Kenyon & Kenyon's **Deposit Account No. 11-0600** for:

a. Any additional filing fees required under 37 C.F.R. § 1.16.
b. Any patent application processing fees under 37 C.F.R. § 1.17.

A duplicate of this sheet is attached.

Date: 8 Sept 2000

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PATENT & TRADEMARK OFFICE 2800

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PATENT
Docket No. 10392-46001
Serial No. 09/038,158

#
9-18

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s)	:	Steven M. H. WALLMAN
Serial No.	:	09/038,158
Filed	:	11 March 1998
For	:	Method and Apparatus for Enabling Smaller Investors or Others to Create and Manage a Portfolio of Securities
Art Unit	:	2764
Examiner	:	C. Chung

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Honorable Assistant Commissioner
for Patents
Washington, D.C. 20231

RESPONSE TO OFFICE ACTION

SIR:

In response to the Office Action mailed on June 16, 2000, the three month shortened statutory period for responding to which expires on September 16, 2000, the following remarks are respectfully submitted:

REMARKS

Reconsideration of this application is respectfully requested in light of the following remarks. Claims 1 to 49 remain in this application. Claims 1, 30, 36, 44, and 47 are the independent claims.